

SPONSORED ACTIVITIES

ANNUAL REPORT FISCAL YEAR 2012



VICE CHANCELLOR FOR RESEARCH & ENGAGEMENT

OFFICE OF GRANT AND CONTRACT ADMINISTRATION

OFFICE OF GRANT AND CONTRACT ADMINISTRATION

Staff Directory

Vice Chancellor for Research and Engagement

Michael F. Malone, Vice Chancellor for Research and Engagement

Office of Grant and Contract Administration

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Theresa Girardi, Assistant Director - (545-0698)
Nancy Stewart, Assistant Director - (545-0698)
James Ayres, Assistant Director - (577-1594)
Marguerite Gargiulo, Office Manager - (577-1590)
Donna Hamel, Receptionist - (545-0698)
Leslie Burke, Reprographics - (545-5889)

PROPOSAL PROCESSING

GRANT & CONTRACT ADMINISTRATORS

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Mary Bryskiewicz - (545-9878)
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Proposal Trends

Figure 1: New Proposal Dollars FY 2008-2012

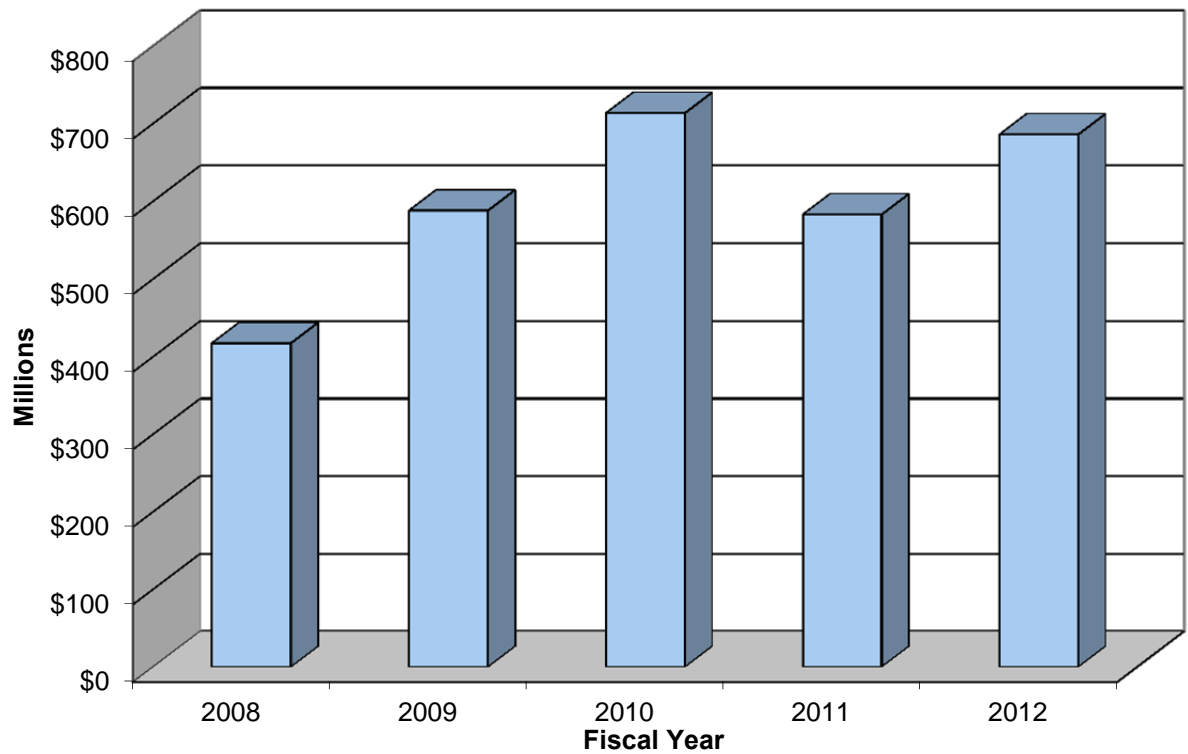
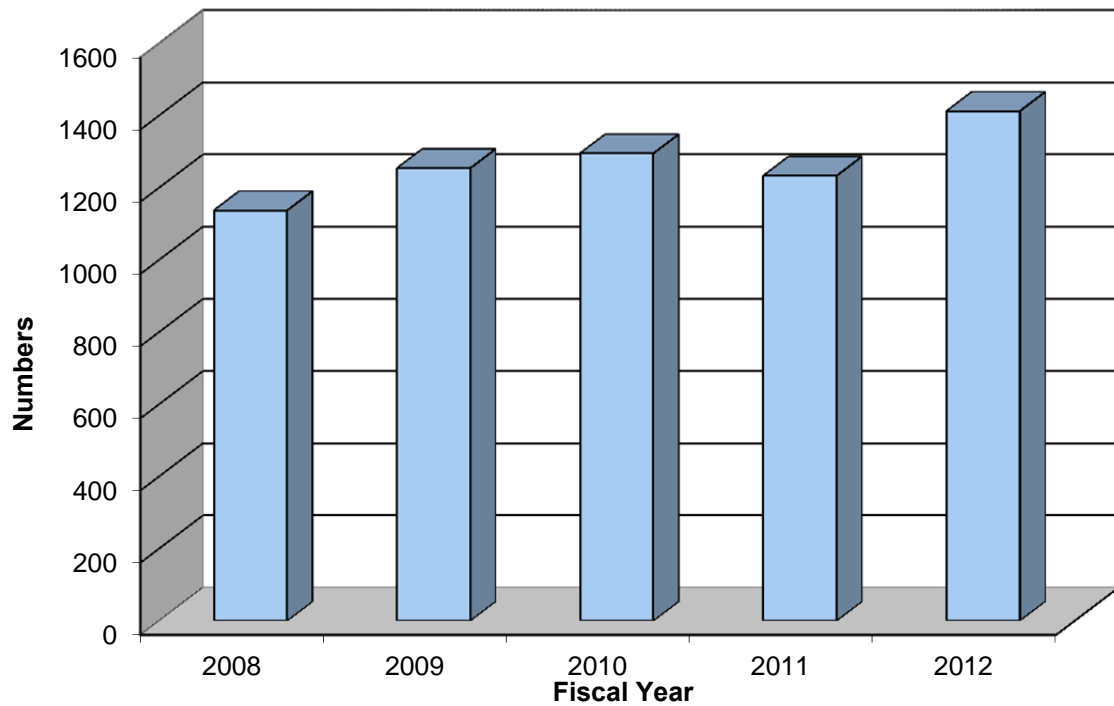


Figure 2: Number of New Proposals FY 2008-2012



PROPOSALS

Table 1
5 Year New Proposal Success Rate Trend FY 2007-2011

Fiscal Year	2007		2008		2009		2010		2011	
	#	Project Dollars	#	Project Dollars	#	Project Dollars	#	Project Dollars	#	Project Dollars
New Awarded	538	\$95,802,175	491	\$127,778,402	481	\$150,379,112	509	\$151,919,771	509	145,900,107
New Not Awarded	658	\$296,386,701	678	\$296,352,581	773	\$437,734,291	786	\$561,568,124	786	\$436,991,132
Total New	1196	\$392,188,876	1169	\$424,130,983	1254	\$588,113,403	1295	\$713,487,895	1233	\$582,891,239
% of New Prop Awarded	45%		42%		38%		39%		41%	

See Notes page # for further explanation

PROPOSALS

Table 2

**5 Year New Proposal Trend by Major Budgetary Unit (MBU)
w/Full Project Dollars**

MBU	FY 2008		FY 2009		FY 2010		FY 2011		FY 2012	
	#	Dollars	#	Dollars	#	Dollars	#	Dollars	#	Dollars
Academic Administration	5	\$2,632,929	1	\$120,000	3	\$2,702,754	2	\$649,252	1	\$4,451,624
Academic Support	38	\$701,978	32	\$888,400	33	\$737,442	14	\$179,390	22	\$619,182
Academic Support Services	0	\$0	1	\$35,000	1	\$24,100	0	\$0	0	\$0
Campus Services	0	\$0	0	\$0	0	\$0	1	\$127,284	1	\$127,284
Center for Student Development	1	\$10,000	1	\$97,835	1	\$10,700	0	\$0	0	\$0
College of Engineering	182	\$64,153,089	211	\$139,929,634	231	\$131,111,201	236	\$139,778,349	269	\$139,427,981
College of Humanities & Fine Arts	19	\$2,802,027	25	\$448,509	34	\$6,705,464	26	\$4,508,918	33	\$5,607,295
College of Nat. Resources & The Envi.*	220	\$48,753,115	214	\$73,468,084	0	\$0*	0	\$0*	0	\$0*
College of Natural Sciences	0	\$0	0	\$0	669	\$442,414,093	622	\$297,944,219	747	\$376,017,384
College of Natural Sciences and Math*	363	\$204,696,490	411	\$249,378,713	0	\$0*	0	\$0*	0	\$0*
College of Social & Behavioral Sciences	107	\$28,418,934	109	\$23,793,029	72	\$11,859,512	80	\$19,154,353	78	\$10,123,677
Commonwealth College	0	\$0	2	\$596,880	2	\$654,687	2	\$234,759	2	\$90,198
Dean of Students	8	\$763,119	4	\$94,301	5	\$386,353	7	\$709,354	7	\$648,278
Deputy Chancellor	0	\$0	0	\$0	0	\$0	0	\$0	1	\$867,040
Economic Development	0	\$0	0	\$0	0	\$0	0	\$0	0	\$0
Environmental Health & Safety	0	\$0	2	\$38,000	2	\$87,601	1	\$143,399	1	\$233,332
Facilities Planning	0	\$0	0	\$0	1	\$1,849,715	0	\$0	1	\$1,944,000
Graduate School	5	\$3,524,855	3	\$5,710,746	8	\$9,535,051	5	\$7,000,817	3	\$3,122,528
Health Services	0	\$0	1	\$299,022	1	\$1,293,868	3	\$491,799	1	\$467,193
Housing Services	0	\$0	0	\$0	0	\$0	0	\$0	0	\$0
Human Resources	3	\$162,065	7	\$2,057,781	9	\$2,967,950	1	\$109,474	2	\$73,970
Office of Information Technologies	1	\$600,000	0	\$0	0	\$0	3	\$831,436	2	\$424,923
Physical Plant	0	\$0	0	\$0	0	\$0	0	\$0	0	\$0
Polymer Science	0	\$0	0	\$0	0	\$0	17	\$1,177,515	0	\$0
Public Safety	0	\$0	0	\$0	0	\$0	0	\$0	0	\$0
Research Services	0	\$0	0	\$0	1	\$1,000	0	\$0	0	\$0
School of Education	33	\$11,496,350	31	\$12,574,952	32	\$18,138,522	37	\$27,665,966	33	\$20,025,954
School of Management	11	\$3,320,611	16	\$5,605,524	18	\$6,731,139	18	\$6,165,963	29	\$7,710,461
School of Nursing	15	\$4,328,978	11	\$1,747,502	4	\$1,518,759	16	\$2,324,192	13	\$2,708,106
Sch of Public Health & Health Sciences	78	\$27,357,767	96	\$44,057,985	85	\$45,408,516	88	\$53,488,002	108	\$64,878,235
Undergraduate Affairs	0	\$0	0	\$0	0	\$0	1	\$3,043,876	0	\$0
University Library	1	\$499,455	1	\$3,000	2	\$352,637	1	\$61,133	2	\$91,319
University Outreach	11	\$726,337	29	\$7,392,164	25	\$9,200,963	0	\$0	0	\$0
University Relations	0	\$0	0	\$0	0	\$0	3	\$351,762	4	\$323,834
VC Student Affairs	0	\$0	0	\$0	3	\$403,916	3	\$689,950	2	\$969,703
VCRE/Vice Chancellor for Research	36	\$12,580,480	46	\$19,776,342	53	\$19,391,952	46	\$16,060,077	50	\$44,975,520
Total	1,137	\$417,528,579	1,254	\$588,113,403	1,295	\$713,487,895	1,233	\$582,891,239	1,412	\$685,929,021

*Due to organizational changes in FY '10 the colleges of CFNR and CNSM 0 awards in FY '10 and CNS has no awards prior to FY '10

PROPOSALS

Table 3
New Proposals Submitted by Organizational Unit FY 2012

<u>Organizational Unit</u>	<u>Props</u>	<u>Direct</u>	<u>Indirect</u>	<u>Total</u>	<u>Proj Est</u>
Academic Administration					
Provost's Office	1	605,102	300,141	905,243	4,451,624
MBU Total FY 2012	1	\$605,102	\$300,141	\$905,243	\$4,451,624
MBU Total FY 2011	2	\$585,747	\$63,505	\$649,252	\$649,252
Academic Support					
Fine Arts Center	22	564,260	4,922	569,182	619,182
MBU Total FY 2012	22	\$564,260	\$4,922	\$569,182	\$619,182
MBU Total FY 2011	14	\$151,880	\$17,510	\$169,390	\$179,390
Campus Services					
Transit Services	1	45,463	26,596	72,059	127,284
MBU Total FY 2012	1	\$45,463	\$26,596	\$72,059	\$127,284
MBU Total FY 2011	1	\$45,463	\$26,596	\$72,059	\$127,284
College of Engineering					
Chemical Engineering	52	7,459,007	2,126,280	9,585,287	33,217,351
Civil and Environmental Engineering	51	7,442,428	2,383,612	9,826,040	31,798,081
Dean - Engineering	6	254,822	32,425	287,247	985,592
Electrical and Computer Engineering	82	9,810,992	3,812,469	13,623,461	42,057,795
Engineering Research Center	10	1,050,297	299,046	1,349,343	2,196,704
Mechanical and Industrial Engineering	58	4,827,660	1,920,595	6,748,255	21,264,432
UMASS Transportation Center	10	4,622,268	1,012,171	5,634,439	7,908,026
MBU Total FY 2012	269	\$35,467,474	\$11,586,598	\$47,054,072	\$139,427,981
MBU Total FY 2011	236	\$31,717,885	\$8,998,598	\$40,594,029	\$139,778,349
College of Humanities & Fine Arts					
Afro-American Studies	1	6,110	0	6,110	6,110
Art	4	36,932	1,885	38,817	68,077
Classics	3	226,955	98,424	325,379	518,679
Dean - Humanities and Fine Arts	1	4,500	0	4,500	4,500
English	9	105,765	15,353	121,118	121,118
History	2	105,388	58,848	164,236	164,236
Judaic and Near Eastern Studies	1	45,818	4,582	50,400	50,400
Language, Literature and Culture	4	49,140	0	49,140	49,140
Linguistics	7	957,901	385,811	1,343,713	4,619,495
Theater	1	5,540	0	5,540	5,540

PROPOSALS

Table 3 (cont'd)

New Proposals Submitted by Organizational Unit FY 2012

MBU Total FY 2012	33	\$1,544,049	\$564,903	\$2,108,953	\$5,607,295
MBU Total FY 2011	26	\$2,980,098	\$312,037	\$3,292,135	\$4,508,918

College of Natural Sciences

Agricultural Experiment Station	6	4,049,540	0	4,049,540	4,049,540
Astronomy	33	1,794,616	972,387	2,767,003	5,372,302
Biochemistry and Molecular Biology	29	8,234,638	2,460,185	10,694,823	35,382,471
Biology	51	5,178,412	2,190,348	7,368,760	26,607,773
CUMIRP/PSE	17	696,091	360,556	1,056,647	1,202,642
Chemistry	46	7,447,849	3,311,074	10,758,923	40,277,797
Computer Science	108	14,253,092	5,743,228	19,996,320	68,344,266
Cranberry Station - Extension	32	505,299	20,839	526,138	725,711
Environmental Conservation	51	4,698,306	1,480,973	6,194,779	13,930,975
Food Science	19	1,269,052	329,268	1,598,320	4,504,239
Geosciences	40	2,976,937	1,042,433	4,019,370	10,147,387
Mathematics and Statistics	37	6,177,306	1,486,876	7,664,182	26,721,432
Microbiology	22	4,208,406	1,673,310	5,881,716	26,623,633
Physics	42	6,319,561	2,003,116	8,322,677	25,432,717
Plant, Soil and Insect Sciences	63	12,382,868	3,364,826	15,747,694	21,059,049
Polymer Science and Engineering	51	4,534,491	1,657,459	6,191,950	15,547,597
Psychology	34	4,222,820	1,968,248	6,191,068	18,578,789
Scientific Reasoning Res Inst	2	178,906	100,708	279,614	846,547
Stockbridge School	4	293,976	50,351	344,327	755,888
UMASS Extension	16	1,244,359	80,732	1,325,091	1,495,272
Veterinary and Animal Sciences	44	6,756,909	2,146,844	8,903,753	28,411,357

MBU Total FY 2012	747	\$97,423,434	\$32,443,761	\$129,882,695	\$376,017,384
MBU Total FY 2011	622	\$76,620,634	\$24,779,347	\$101,352,845	\$297,944,219

College of Social & Behavioral Sciences

Anthropology	20	1,955,393	535,750	2,491,143	3,399,727
Anthropology - Archaeological Services	13	351,683	123,425	475,108	475,108
Communication	4	232,431	128,330	360,761	360,761
Economics	4	212,952	70,550	283,502	573,985
Landscape Arch and Regional Planning	4	202,957	41,105	244,062	858,499
Political Science	14	297,967	101,044	399,011	945,634
Public Policy	6	407,756	102,562	510,318	1,215,764
Sociology	13	633,731	204,649	838,380	2,294,199

MBU Total FY 2012	78	\$4,294,870	\$1,307,415	\$5,602,285	\$10,123,677
MBU Total FY 2011	80	\$5,528,465	\$1,648,210	\$7,159,091	\$19,154,353

Commonwealth College

Honors	2	26,348	9,645	35,993	90,198
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MBU Total FY 2012	2	\$26,348	\$9,645	\$35,993	\$90,198
MBU Total FY 2011	2	\$75,039	\$19,512	\$94,551	\$234,759

PROPOSALS

Table 3 (cont'd)
New Proposals Submitted by Organizational Unit FY 2012

Dean of Students

Everywoman's Center	7	456,861	16,833	473,694	648,278
MBU Total FY 2012	7	\$456,861	\$16,833	\$473,694	\$648,278
MBU Total FY 2011	7	\$468,182	\$1,660	\$469,842	\$709,354

Deputy Chancellor

Chancellor's Exec Area Admin	1	867,040	0	867,040	867,040
MBU Total FY 2012	1	\$867,040	\$0	\$867,040	\$867,040

Environmental Health & Safety

Environmental Health and Safety	1	174,999	58,333	233,332	233,332
MBU Total FY 2012	1	\$174,999	\$58,333	\$233,332	\$233,332
MBU Total FY 2011	1	\$136,233	\$7,166	\$143,399	\$143,399

Facilities Planning

Facilities Campus Planning	1	500,000	0	500,000	1,944,000
MBU Total FY 2012	1	\$500,000	\$0	\$500,000	\$1,944,000

Graduate School

Dean's Office	1	66,691	15,839	82,530	82,530
NEAGEP/STEM	2	505,121	147,307	652,428	3,039,998
MBU Total FY 2012	3	\$571,812	\$163,146	\$734,958	\$3,122,528
MBU Total FY 2011	5	\$3,338,770	\$775,872	\$4,114,642	\$7,000,817

Health Services

UHS Health Services	1	62,433	36,835	99,268	467,193
MBU Total FY 2012	1	\$62,433	\$36,835	\$99,268	\$467,193
MBU Total FY 2011	3	\$99,669	\$35,532	\$135,201	\$491,799

Human Resources

Human Resources	2	67,834	6,136	73,970	73,970
MBU Total FY 2012	2	\$67,834	\$6,136	\$73,970	\$73,970
MBU Total FY 2011	1	\$49,761	\$4,976	\$54,737	\$109,474

PROPOSALS

Table 3 (cont'd)
New Proposals Submitted by Organizational Unit FY 2012

Office of Information Technologies

C I O	2	158,118	82,745	240,863	424,923
MBU Total FY 2012	2	\$158,118	\$82,745	\$240,863	\$424,923
MBU Total FY 2011	3	\$440,724	\$206,721	\$647,445	\$831,436

School of Education

Educational Policy Research and Admin	18	3,534,522	820,742	4,355,264	14,339,610
Student Dev and Pupil Personel Service:	7	620,734	130,216	750,950	2,601,269
Teacher Ed and Curriculum Studies	8	704,251	230,223	934,474	3,085,075
MBU Total FY 2012	33	\$4,859,507	\$1,181,181	\$6,040,688	\$20,025,954
MBU Total FY 2011	37	\$11,779,326	\$3,375,692	\$15,155,018	\$27,665,966

School of Management

Accounting and Information Systems	1	10,000	0	10,000	10,000
Finance and Operations Management	3	204,348	46,741	251,089	513,599
MA Small Business Dev Ctr	21	6,623,321	43,665	6,666,986	6,712,420
Resource Economics	4	310,544	99,156	409,700	474,442
MBU Total FY 2012	29	\$7,148,213	\$189,562	\$7,337,775	\$7,710,461
MBU Total FY 2011	18	\$5,340,397	\$360,368	\$5,695,102	\$6,165,963

School of Nursing

Nursing	13	1,486,198	153,500	1,639,698	2,708,106
MBU Total FY 2012	13	\$1,486,198	\$153,500	\$1,639,698	\$2,708,106
MBU Total FY 2011	16	\$879,923	\$195,840	\$1,075,763	\$2,324,192

School of Public Health & Health Science

Communications Disorders	8	1,327,093	414,536	1,741,629	8,079,898
Dean Health Sciences	1	146,092	86,196	232,288	702,834
Kinesiology	23	2,019,678	726,542	2,746,220	8,148,055
Nutrition	10	2,844,133	625,055	3,469,188	4,556,856
Public Health	66	9,865,741	3,197,103	13,062,844	43,390,592
MBU Total FY 2012	108	\$16,202,737	\$5,049,432	\$21,252,169	\$64,878,235
MBU Total FY 2011	88	\$13,555,839	\$4,277,112	\$17,832,951	\$53,488,002

PROPOSALS

Table 3 (cont'd)
New Proposals Submitted by Organizational Unit FY 2012

University Library

Lib - Library Systems	1	30,421	17,948	48,369	48,369
Library - Admin Services	1	42,950	0	42,950	42,950
MBU Total FY 2012	2	\$73,371	\$17,948	\$91,319	\$91,319
MBU Total FY 2011	1	\$41,417	\$19,716	\$61,133	\$61,133

University Relations

Communications and Marketing	3	20,483	4,782	25,265	25,265
WFCR	1	149,284	0	149,284	298,569
MBU Total FY 2012	4	\$169,767	\$4,782	\$174,549	\$323,834
MBU Total FY 2011	3	\$351,762	\$0	\$351,762	\$351,762

VC for Student Affairs

VC Student Affairs Office	2	455,167	14,620	469,787	969,703
MBU Total FY 2012	2	\$455,167	\$14,620	\$469,787	\$969,703
MBU Total FY 2011	3	\$382,009	\$36,536	\$418,545	\$689,950

VCRE/Vice Chancellor for Research

VCRE/VC for Research & Engagement

C&I/Baystate/UM PVLSI	14	2,735,576	632,272	3,367,848	10,272,412
UMass Innovation Institute	1	0	0	0	0
MBU Total FY 2012	15	\$2,735,576	\$632,272	\$3,367,848	\$10,272,412
MBU Total FY 2011	21	\$3,272,841	\$840,907	\$4,113,748	\$15,112,206

VCRE/Environmental Institute

Water Resources and Research Ctr	13	496,724	165,110	661,834	917,907
MBU Total FY 2012	13	\$496,724	\$165,110	\$661,834	\$917,907
MBU Total FY 2011	8	\$297,870	\$44,288	\$342,158	\$387,158

VCRE/Research Support

Mass Nanotech	10	2,278,441	449,723	2,728,164	33,756,476
MBU Total FY 2012	10	\$2,278,441	\$449,723	\$2,728,164	\$33,756,476
MBU Total FY 2011	7	\$245,064	\$66,649	\$311,713	\$524,213

PROPOSALS

Table 3 (cont'd)

New Proposals Submitted by Organizational Unit FY 2012

VCRE/University Press

University Press	12	28,725	0	28,725	28,725
MBU Total FY 2012	12	\$28,725	\$0	\$28,725	\$28,725
MBU Total FY 2011	10	\$36,500	\$0	\$36,500	\$36,500
Fiscal Year 2012 Total	1,412	\$178,764,521	\$54,466,139	\$233,246,161	\$685,929,021
Fiscal Year 2011 Total	1,233	\$159,967,347	\$46,828,179	\$206,602,689	\$582,891,239
% Change FY 2011 to FY 2012	15%	12%	16%	13%	18%
Fiscal Year FY 2010 Total	1,295	\$221,580,566	\$50,432,605	\$272,013,171	\$713,487,895
% Change FY 2010 to FY 2012	9%	-19%	8%	-14%	-4%

PROPOSALS

Table 4
5 Year New Proposal Trend by Sponsor Category
W/Total Project Dollars

Sponsor Category	FY 2008		FY 2009		FY 2010		FY 2011		FY 2012	
	#	Dollars	#	Dollars	#	Dollars	#	Dollars	#	Dollars
Federal	515	\$332,078,520	625	\$477,302,028	704	\$584,818,477	624	\$460,617,716	727	\$542,818,698
Commonwealth of MA	77	\$11,126,722	73	\$15,187,166	71	\$10,936,615	63	\$11,079,750	62	16,295,923
Other States & Local Gov'ts	23	\$1,967,026	19	\$2,040,711	13	\$1,392,893	14	\$4,779,770	15	\$919,795
Non-Profit	376	\$52,602,021	434	\$79,106,164	384	\$99,347,082	413	\$79,414,950	470	\$100,435,652
Industry	146	\$19,754,290	103	\$14,477,334	123	\$16,992,828	119	\$26,999,053	138	25,458,952
Total	1,137	\$417,528,579	1,254	\$588,113,403	1,295	\$713,487,895	1,233	\$582,891,239	1,412	\$685,929,020

PROPOSALS

Table 5
New Proposals Submitted by Federal Sponsor FY 2012

<u>Sponsor</u>	<u>Props</u>	<u>Direct</u>	<u>Indirect</u>	<u>Total</u>	<u>Project Est</u>
US Dept of Agriculture					
Agricultural Research Service (USDA - ARS)	3	232,547	18,223	250,770	391,674
Animal and Plant Health Inspec Serv (APHIS)	3	107,362	10,736	118,098	295,467
Forest Service (USFS)	6	575,897	38,171	614,068	1,032,573
Nat'l Institute of Food and Agriculture (NIFA)	19	9,412,274	2,923,934	12,336,208	13,604,356
Natural Resources Conserv Services(NRCS)	4	312,605	45,845	358,450	631,524
Northeast SARE	6	416,577	39,363	455,940	671,977
US Dept of Agriculture (USDA)	15	5,987,214	77,440	6,064,654	6,118,868
Total	56	\$17,044,476	\$3,153,712	\$20,198,188	\$22,746,439
US Dept of Commerce					
Economic Development Administration	1	36,640	8,794	45,434	90,868
Nat'l Oceanic and Atmospheric Admin (NOAA)	10	1,407,864	439,737	1,847,601	2,467,117
National Institute of Standards and Tech	2	99,633	27,898	127,531	377,016
Total	13	\$1,544,137	\$476,429	\$2,020,566	\$2,935,001
US Dept of Defense					
Air Force Office of Scientific Research (AFOSR)	3	586,949	46,789	633,738	876,857
Air Force Research Laboratory	1	982,670	179,116	1,161,786	30,000,000
Army Corps of Engineers	2	385,451	144,250	529,701	1,394,631
Army Medical Research	1	364,453	140,543	504,996	999,428
Army Natick Soldier R D and E Center	4	188,167	97,235	285,402	467,062
Army Research Institute	1	506,565	109,637	616,202	2,243,119
Army Research Office (ARO)	3	172,248	97,030	269,278	807,549
Defense Advanced Research Proj Agency (DARPA)	11	1,974,263	734,046	2,708,309	9,129,821
Defense Logistics Agency	2	530,870	25,966	556,836	556,836
National Security Agency (NSA)	4	108,778	56,577	165,355	316,971
Naval Postgraduate School	1	95,906	53,428	149,334	149,334
Office of Naval Research (ONR)	8	1,675,524	314,115	1,989,639	4,845,665
US Dept of Defense (DOD)	7	1,146,724	566,536	1,713,260	3,316,590
Total	48	\$8,718,568	\$2,565,268	\$11,283,836	\$55,103,863
US Dept of Education					
Institute of Education Sciences	1	265,901	97,734	363,635	1,149,728
National Writing Project	2	36,362	3,636	39,998	39,998
US Dept of Education (DOED)	6	1,403,703	31,953	1,435,656	5,106,665
Total	9	\$1,705,966	\$133,323	\$1,839,289	\$6,296,391
US Dept of Energy					
US Dept of Energy (DOE)	22	11,621,212	3,038,068	14,659,280	57,664,723
Total	22	\$11,621,212	\$3,038,068	\$14,659,280	\$57,664,723

PROPOSALS

Table 5 (cont'd)
New Proposals Submitted by Federal Sponsor FY 2012

<u>Sponsor</u>	<u>Props</u>	<u>Direct</u>	<u>Indirect</u>	<u>Total</u>	<u>Project Est</u>
US Dept of Health and Human Services					
Agency for Healthcare Research & Quality	1	231,999	111,882	343,881	1,030,511
Centers for Disease Control (CDC)	1	201,192	113,858	315,050	713,553
Food and Drug Administration (FDA)	1	49,841	0	49,841	49,841
Health Resources and Services Admin (HRSA)	5	1,603,046	71,342	1,674,388	3,297,598
National Institutes of Health (NIH)	126	30,415,199	12,060,302	42,475,501	163,440,204
Total	134	\$32,501,277	\$12,357,384	\$44,858,661	\$168,531,707
US Dept of Homeland Security					
US Dept of Homeland Security	1	393,953	100,350	494,303	975,000
Total	1	\$393,953	\$100,350	\$494,303	\$975,000
US Dept of Housing and Urban Development					
US Dept of Housing and Urban Development (HUD)	1	36,330	0	51,830	258,921
Total	1	\$36,330	\$0	\$51,830	\$258,921
US Dept of Interior					
Geological Survey (USGS)	20	2,037,628	531,201	2,568,829	8,631,185
US Fish and Wildlife Service (FWS)	1	354,205	53,132	407,337	874,443
Total	21	\$2,391,833	\$584,333	\$2,976,166	\$9,505,628
US Dept of Justice					
US Dept of Justice (DOJ)	1	164,178	85,592	249,770	498,785
Total	1	\$164,178	\$85,592	\$249,770	\$498,785
US Dept of State					
US Dept of State	2	1,297,276	307,719	1,604,995	4,258,094
Total	2	\$1,297,276	\$307,719	\$1,604,995	\$4,258,094
US Dept of Transportation					
Federal Aviation Administration (FAA)	1	85,325	47,246	132,571	270,002
Federal Transit Administration	1	45,463	26,596	72,059	127,284
US Dept of Transportation (DOT)	1	1,579,216	170,784	1,750,000	3,500,000
Total	3	\$1,710,004	\$244,626	\$1,954,630	\$3,897,286
US Dept of the Treasury					
US Dept of the Treasury	1	91,030	0	91,030	91,030
Total	1	\$91,030	\$0	\$91,030	\$91,030

PROPOSALS

Table 5 (cont'd)

New Proposals Submitted by Federal Sponsor FY 2012

<u>Sponsor</u>	<u>Props</u>	<u>Direct</u>	<u>Indirect</u>	<u>Total</u>	<u>Project Est</u>
Independent Establishments & Govt Corps					
Agency for International Development (AID)	3	802,333	125,510	927,843	5,479,954
Environmental Protection Agency (EPA)	3	227,903	95,294	323,197	645,977
Nat'l Historical Publications & Records	1	42,950	0	42,950	42,950
National Aero and Space Administration (NASA)	23	2,362,684	929,850	3,292,534	9,105,928
National Endowment for the Arts (NEA)	3	73,136	1,864	75,000	125,000
National Endowment for the Humanities (NEH)	4	245,651	136,507	382,158	606,451
Small Business Administration (SBA)	2	4,271,464	0	4,271,464	4,271,464
Total	39	\$8,026,121	\$1,289,025	\$9,315,146	\$20,277,724
National Science Foundation					
National Science Foundation (NSF)	370	42,511,885	17,234,638	59,746,524	189,421,747
Total	370	\$42,511,885	\$17,234,638	\$59,746,524	\$189,421,747
Other/Quasi Government Agencies					
Department of Veterans Affairs (VA)	1	33,119	19,399	52,518	191,061
Open World Leadership Center	1	34,653	10,186	44,839	44,839
Smithsonian Astrophysical Observatory	2	33,184	17,204	50,388	50,388
Smithsonian Institution	1	8,712	5,140	13,852	52,579
UN-Habitat	1	15,900	1,590	17,490	17,490
Total	6	\$125,568	\$53,519	\$179,087	\$356,357
Total FY 2012 - Federal	727	\$129,883,813	\$41,623,986	\$171,523,300	\$542,818,696
Total FY 2011 - Federal	624	\$115,145,074	\$35,824,749	\$150,836,895	\$460,617,716
% Change FY 2011 to FY 2012	17%	13%	16%	14%	18%

PROPOSALS

Table 5 (cont'd)

New Proposals Submitted by Sponsor FY 2012

<u>Sponsor</u>	<u>Props</u>	<u>Direct</u>	<u>Indirect</u>	<u>Total</u>	<u>Project Est</u>
Commonwealth of Massachusetts					
Kingston Town of	1	27,755	7,124	34,879	34,879
MA Clean Energy Center	3	330,963	80,537	411,500	411,500
MA Cultural Council	7	106,587	4,426	111,013	111,013
MA Dept of Agricultural Resources	12	430,561	87,134	517,695	570,995
MA Dept of Business and Technology	2	1,585,152	0	1,585,152	1,585,152
MA Dept of Conservation and Recreation	6	177,307	33,517	210,824	330,467
MA Dept of Elementary & Secondary Ed	5	280,717	69,936	350,653	1,263,485
MA Dept of Environmental Protection (DEP)	2	40,188	8,577	48,765	48,765
MA Dept of Higher Education	1	36,364	3,636	40,000	40,000
MA Dept of Public Health (DPH)	3	229,772	1,365	231,137	319,521
MA Dept of State Police	3	268,603	69,516	338,119	338,119
MA Dept of Transitional Assistance	1	2,125,073	474,927	2,600,000	2,600,000
MA Dept of Transportation	5	3,760,082	880,616	4,640,698	7,402,096
MA Division of Fisheries and Wildlife (DFW)	2	274,151	43,116	317,267	335,500
MA Emergency Management Agency	3	364,930	58,333	423,263	423,263
MA Environmental Trust	1	27,623	6,906	34,529	34,529
MA Exec Off of Public Safety & Security	2	159,003	40,939	199,942	199,942
MA Office for Victim Assistance	1	52,828	0	52,828	52,828
MA Office of Business Development	1	178,095	8,905	187,000	187,000
MA Registry of Motor Vehicles	1	5,452	1,417	6,869	6,869
Total FY 2012 - Commonwealth of MA	62	\$10,461,206	\$1,880,927	\$12,342,133	\$16,295,923
Total FY 2011 - Commonwealth of MA	63	\$7,465,082	\$1,193,689	\$8,636,108	\$11,079,750
% Change FY 2011 to FY 2012	-2%	40%	58%	43%	47%
Other States and Local Governments					
Amherst Public Schools	2	144,572	23,299	167,871	167,871
Amherst Town of	1	81,767	0	81,767	167,967
Berkshire Cnty Reg Planning Commission	1	31,983	8,316	40,299	40,299
CT Agricultural Experiment Station	1	20,412	0	20,412	63,683
City of Northampton	1	8,288	2,117	10,405	10,405
Kentucky Arts Council	1	4,500	0	4,500	4,500
North Central Texas Council of Governments	1	69,470	40,987	110,457	110,457
Pioneer Valley Planning Commission	2	81,689	8,021	89,710	118,970
Springfield Water and Sewer Commission	3	37,722	8,847	46,569	46,569
Upper Blackstone WPAD	2	150,059	39,015	189,074	189,074
Total FY 2012 - Other States & Local Gov't	15	\$630,462	\$130,602	\$761,064	\$919,795
Total FY 2011 - Other States & Local Gov't	14	\$1,432,330	\$321,581	\$1,753,911	\$4,779,770
% Change FY 2011 to FY 2012	7%	-56%	-59%	-57%	-81%

PROPOSALS

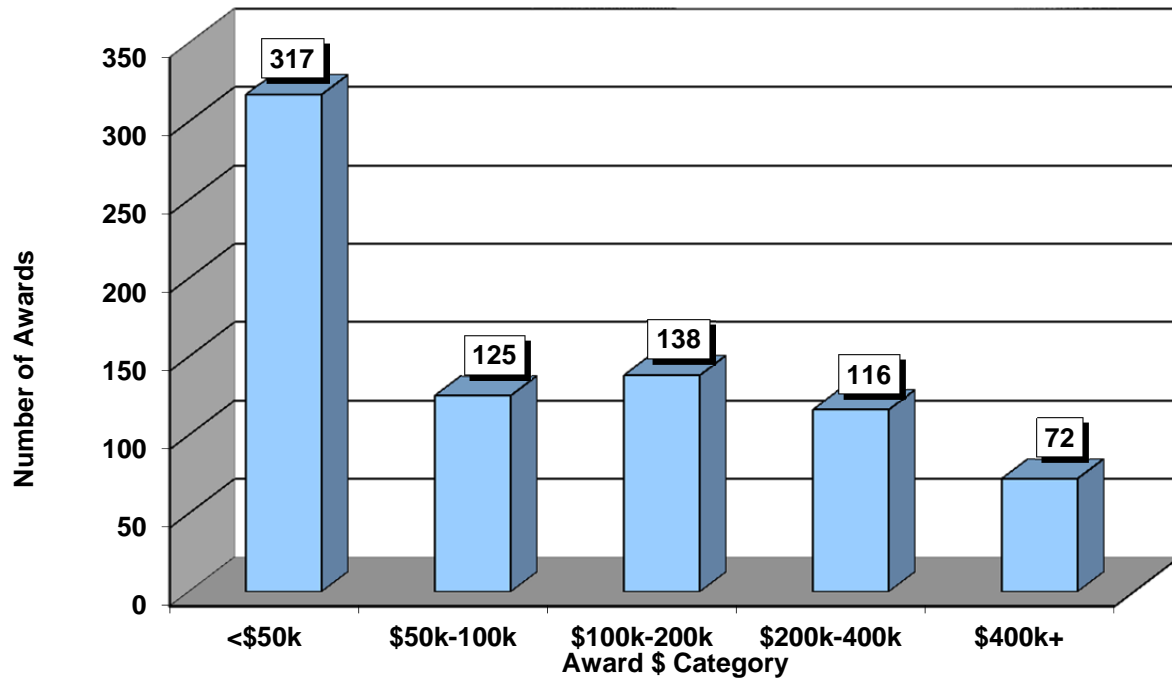
Table 5 (cont'd)
New Proposals Submitted by Sponsor FY 2012

<u>Sponsor</u>	<u>Props</u>	<u>Direct</u>	<u>Indirect</u>	<u>Total</u>	<u>Project Est</u>
Private Sector					
Non - Profit					
Foundations	123	8,286,207	566,215	8,852,422	20,047,838
Health Agencies	19	770,142	368,848	1,138,990	4,922,938
Institutes and Associations	123	5,859,030	1,076,544	6,935,574	17,214,421
Other Colleges and Universities	180	11,079,199	4,699,400	15,778,599	49,460,277
Other Sponsors	25	2,344,337	489,832	2,834,169	8,790,179
Total FY 2012 -- Non-Profit	470	28,338,914	7,200,839	35,539,753	100,435,652
Total FY 2011 -- Non-Profit	413	26,935,009	5,957,946	32,855,709	79,414,950
% Change FY 2011 to FY 2012	14%	5%	21%	8%	26%
Total FY 2012 -- Industry	138	9,450,126	3,629,785	13,079,911	25,458,952
Total FY 2011 -- Industry	119	8,989,852	3,530,214	12,520,066	26,999,053
% Change FY 2011 to FY 2012	16%	5%	3%	4%	-6%
Total FY 2012 -- Private Sector	608	\$37,789,040	\$10,830,624	\$48,619,664	125,894,604
Total FY 2011 -- Private Sector	532	35,924,861	9,488,160	45,375,775	106,414,003
% Change FY 2011 to FY 2012	14%	5%	14%	7%	18%
Fiscal Year 2012 Total	1,412	\$178,764,521	\$54,466,139	\$233,246,161	\$685,929,020
Fiscal Year 2011 Total	1,233	\$159,967,347	\$46,828,179	\$206,602,689	\$582,891,239
% Change FY 2011 to FY 2012	15%	12%	16%	13%	18%
Fiscal Year FY 2010 Total	1,295	\$221,580,566	\$50,432,605	\$272,013,171	\$713,487,895
% Change FY 2010 to FY 2012	9%	-19%	8%	-14%	-4%

AWARDS

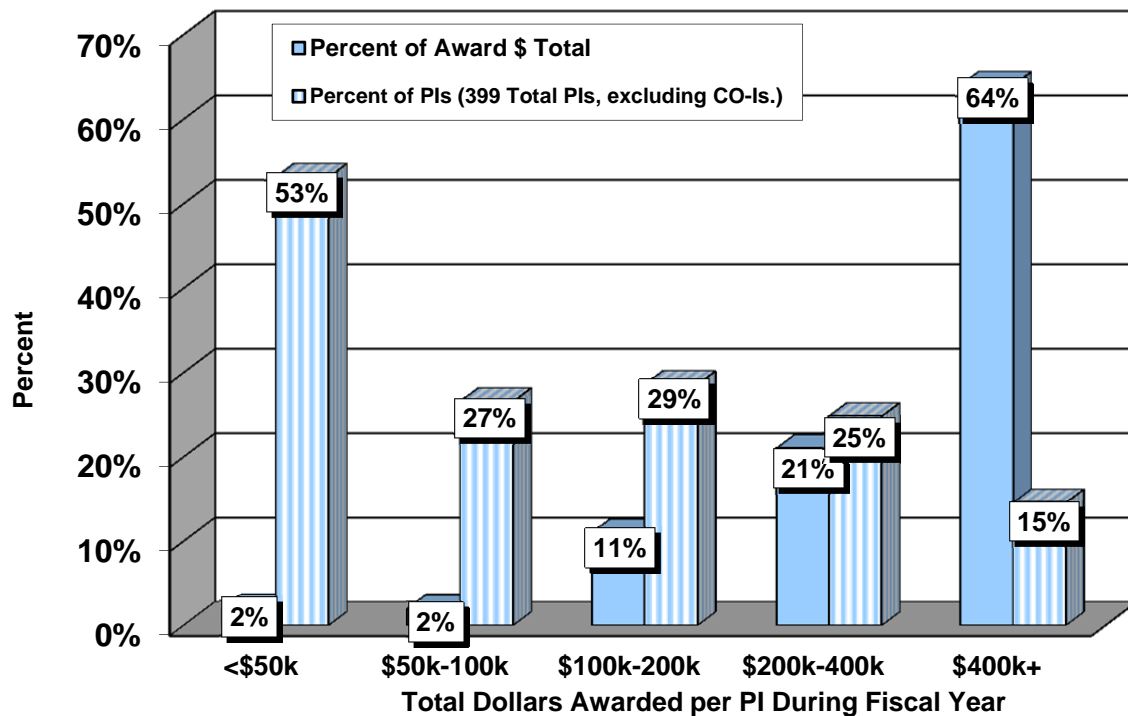
AWARD DISTRIBUTION ANALYSIS

Figure 3: Distribution of Awards by Dollar Category FY 2012*



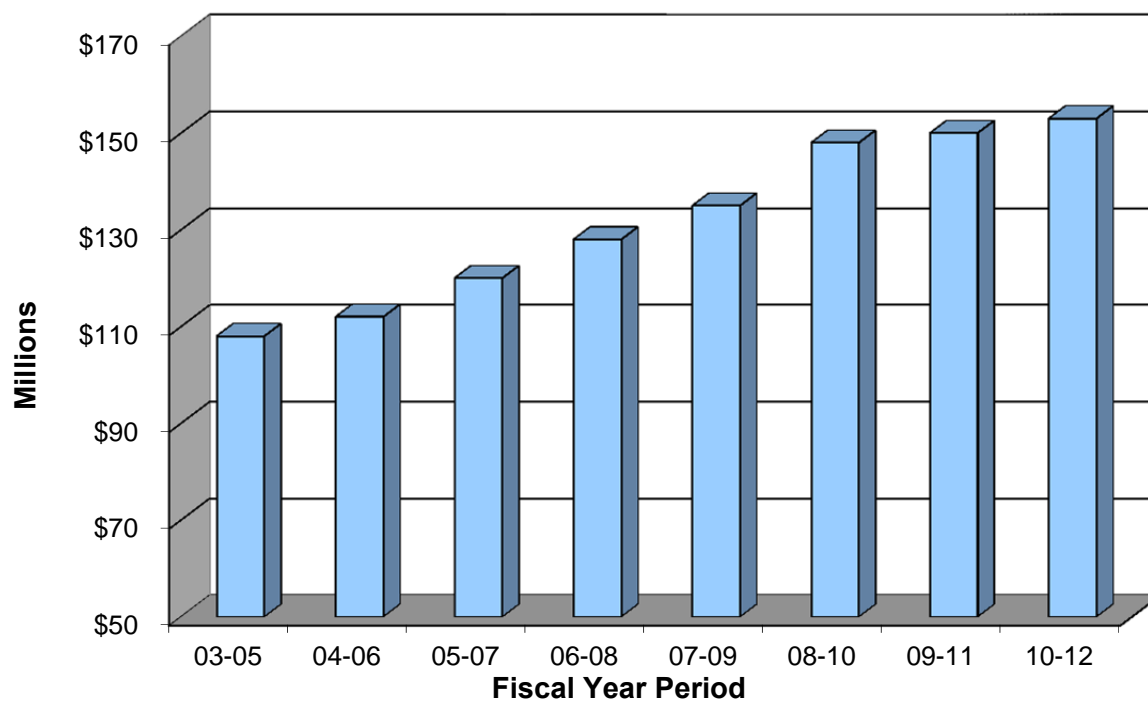
* 2 or more FY 2012 awards in the same project were grouped together,

Figure 4: Distribution of Award Dollars to PIs FY 2012



AWARDS

Figure 5: Award Dollars - Three-Year Rolling Averages FY 2003-2012



AWARDS

Figure 6: Distribution of Award Numbers by Award Type FY 2012
Total Awards - 967

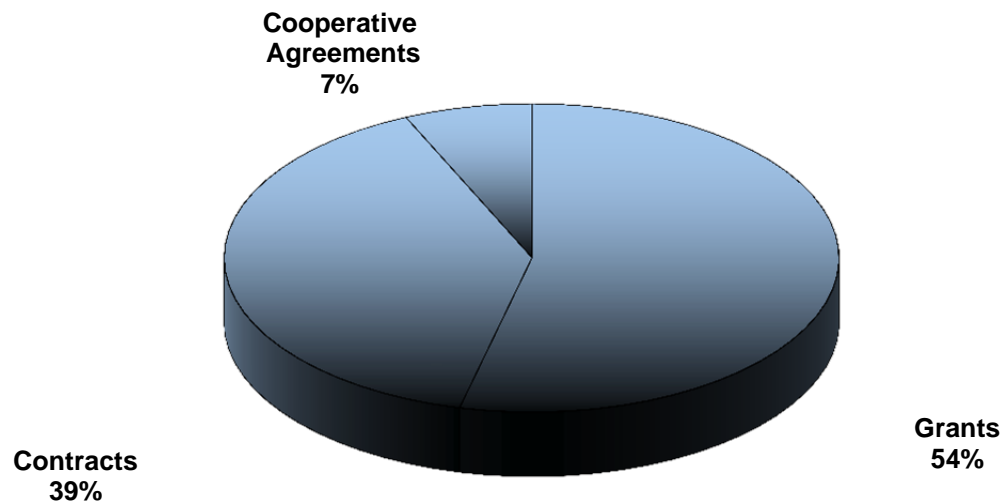
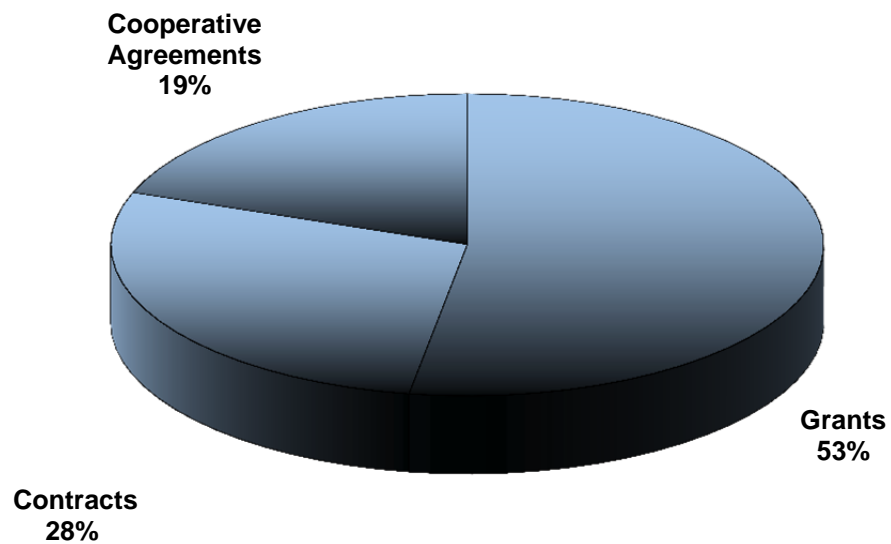


Figure 7: Distribution of Award Dollars by Award Type Total Costs, FY 2012
\$144,629,270



AWARDS

TEN YEAR SUMMARY

Figure 8: Indirect, Direct & Total Dollar Value of Awards FY 2003 - 2012

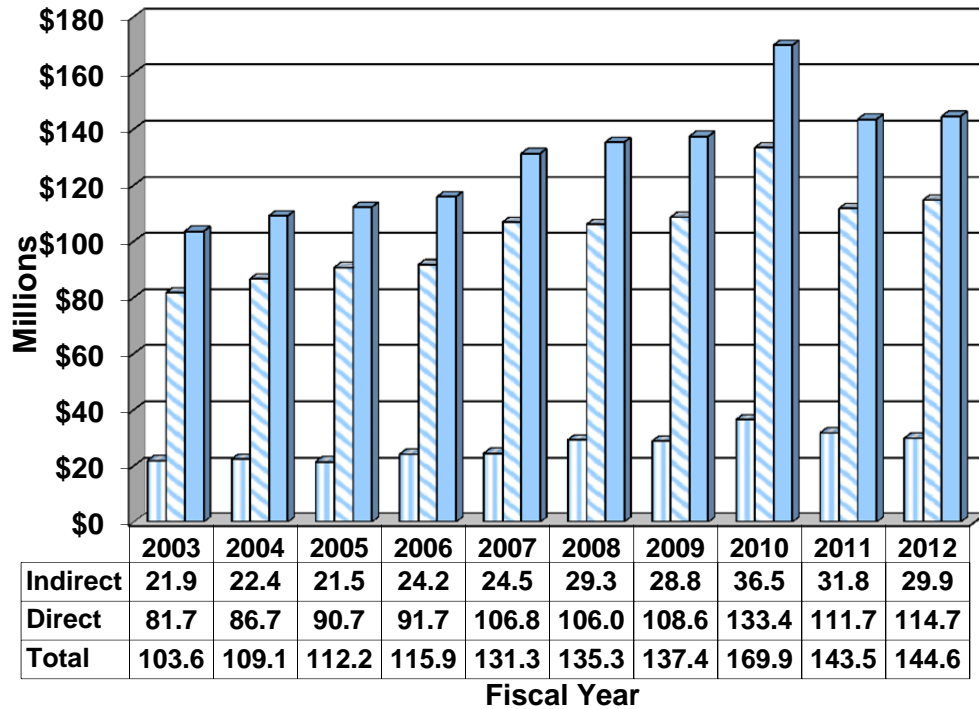
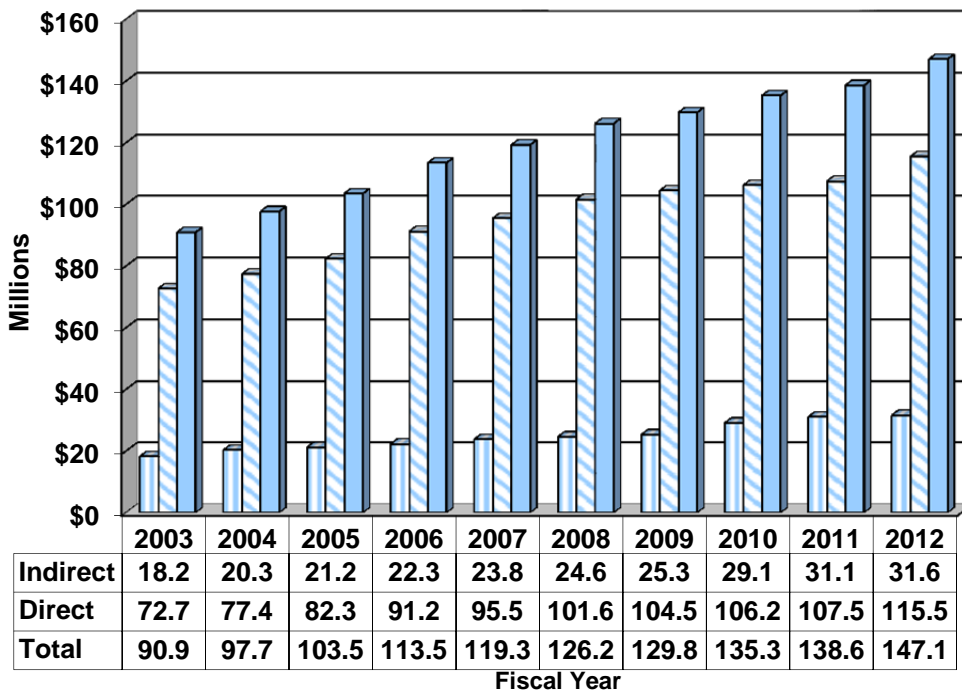


Figure 9: Indirect, Direct & Total \$ Expenditures FY 2003 - 2012

Data obtained from the Budget Office



AWARDS

Table 6

5 Year Award Trend by Major Budgetary Unit (MBU)

MBU	FY 2008		FY 2009		FY 2010		FY 2011		FY 2012	
	#	Dollars	#	Dollars	#	Dollars	#	Dollars	#	Dollars
Academic Administration	7	\$2,034,027	2	\$1,554,935	4	\$2,075,583	4	\$2,989,370	0	\$0
Academic Affairs	0	\$0	0	\$0	0	\$0	0	\$0	1	\$499,329
Academic Support	32	\$495,461	22	\$394,450	18	\$162,170	11	\$447,630	0	\$0
Academic Support Services	0	\$0	1	\$35,000	1	\$24,100	0	\$0	14	\$167,650
Center for Student Development	0	\$0	3	\$26,485	1	\$12,500	1	\$13,000	0	\$0
College of Engineering	198	\$23,313,291	185	\$30,547,906	191	\$29,333,046	170	\$22,469,630	151	\$26,505,519
College of Humanities & Fine Arts	14	\$491,066	22	\$627,887	20	\$555,773	17	\$340,433	18	\$298,929
College Nat. Resources & The Environment*	246	\$22,263,808	247	\$21,336,203	0	\$0	0	\$0	0	\$0
College of Natural Sciences	0	\$0	0	\$0	668	\$103,313,726	615	\$75,121,260	583	\$90,910,680
College of Natural Sciences and Math*	429	\$53,583,230	353	\$54,513,667	0	\$0	0	\$0	0	\$0
College of Social & Behavioral Sciences	84	\$4,015,284	86	\$6,837,637	45	\$1,993,401	49	\$3,270,082	35	\$2,026,560
Commonwealth College	0	\$0	0	\$0	1	\$89,393	2	\$183,517	0	\$0
Dean of Students	9	\$638,244	5	\$80,708	9	\$294,775	7	\$408,903	6	\$317,255
Environmental Health & safety	0	\$0	4	\$40,350	2	\$87,601	1	\$143,400	0	\$0
Facilities Planning	0	\$0	0	\$0	1	\$1,849,715	0	\$0	2	\$2,071,284
Graduate School	3	\$716,701	6	\$1,044,898	4	\$537,159	5	\$1,771,040	6	\$793,530
Health Services	2	\$79,972	2	\$273,588	1	\$100,000	2	\$200,000	0	\$0
Human Resources	3	\$403,604	6	\$195,052	6	\$381,961	3	\$634,153	1	\$5,200
Office of Information Technologies	4	\$645,217	1	\$32,607	1	\$31,466	3	\$451,231	1	\$320,000
Physical Plant	0	\$0	0	\$0	0	\$0	0	\$0	0	\$0
Polymer Science	0	\$0	0	\$0	0	\$0	35	\$2,076,072	0	\$0
Public Safety	0	\$0	0	\$0	0	\$0	0	\$0	0	\$0
Rsrch Liason & Tech Transfer	0	\$0	0	\$0	1	\$1,000	0	\$0	0	\$0
School of Education	20	\$3,205,930	31	\$3,153,953	35	\$7,964,580	22	\$10,668,828	24	\$4,834,426
School of Management	18	\$4,621,142	10	\$3,695,479	12	\$4,358,935	19	\$5,517,616	30	\$4,300,539
School of Nursing	10	\$849,660	8	\$716,379	1	\$25,000	4	\$57,094	9	\$298,250
School of Public Health & Health Sciences	66	\$8,237,866	72	\$8,147,307	55	\$9,260,552	72	\$10,103,823	51	\$9,306,397
Student Affairs	1	\$704	0	\$0	0	\$0	0	\$0	0	\$0
Undergrate Affairs	0	\$0	0	\$0	0	\$0	1	\$1,500	1	\$1,500
University Relations	0	\$0	0	\$0	0	\$0	5	\$358,182	4	\$430,069
University Library	0	\$0	2	\$203,000	1	\$314,787	0	\$0	1	\$42,950
University Outreach	18	\$744,071	29	\$1,058,716	23	\$850,710	0	\$0	0	\$0
VCRE/VC for Research & Engagement	30	\$8,979,054	43	\$2,887,938	33	\$6,375,575	35	\$6,301,284	29	\$1,499,203
Total	1,194	\$135,318,332	1,140	\$137,404,145	1,134	\$169,993,508	1,083	\$143,528,048	967	\$144,629,270

*Due to organizational changes in FY '10 the colleges of CFNR and CNSM 0 awards in FY '10 and CNS has no awards prior to FY '10

AWARDS

Table 7

Awards Accepted by Organizational Unit FY 2012

<u>Organizational Unit</u>	<u>Awards</u>	<u>Direct</u>	<u>Indirect</u>	<u>Total</u>
Academic Affairs				
Provost's Office	1	449,354	49,975	499,329
MBU Total FY 2012	1	\$449,354	\$49,975	\$499,329
MBU Total FY 2011	4	\$2,896,363	\$93,007	\$2,989,370
Academic Support Services				
Fine Arts Center	14	167,650	0	167,650
MBU Total FY 2012	14	\$167,650	\$0	\$167,650
MBU Total FY 2011	11	\$447,630	\$0	\$447,630
College of Engineering				
Chemical Engineering	23	3,192,746	932,494	4,125,240
Civil & Environmental Engineering	20	6,035,734	1,520,428	7,556,162
Dean-School of Engineering	3	38,182	1,818	40,000
Electrical and Computer Engineering	51	4,063,611	1,677,771	5,741,382
Engineering Research Center	9	2,483,945	510,090	2,994,035
Mechanical and Industrial Engineering	37	3,043,439	914,010	3,957,449
UMASS Transportation Center	8	1,668,160	423,091	2,091,251
MBU Total FY 2012	151	\$20,525,817	\$5,979,702	\$26,505,519
MBU Total FY 2011	170	\$17,040,104	\$5,429,526	\$22,469,630
College of Humanities & Fine Arts				
Afro-American Studies	1	6,110	0	6,110
Art	3	58,623	4,545	63,168
Dean-College of Humanities and Fine Art	1	4,500	0	4,500
English	6	67,820	5,180	73,000
History	1	5,100	0	5,100
Judaic and Near Eastern Studies	2	85,400	0	85,400
Language, Literature & Culture	4	61,651	0	61,651
MBU Total FY 2012	18	\$289,204	\$9,725	\$298,929
MBU Total FY 2011	17	\$285,180	\$55,253	\$340,433
College of Natural Sciences				
Agricultural Experiment Station	4	3,711,650	0	3,711,650
Astronomy	28	1,291,013	523,620	1,814,633
Biochemistry and Molecular Biology	18	3,285,048	1,182,042	4,467,090
Biology	29	3,365,816	1,107,965	4,473,781

Center for Agriculture	1	26,875	0	26,875
Chemistry	23	2,875,418	1,488,833	4,364,251
Computer Science	98	9,791,611	4,584,181	14,375,792
Cranberry Station - Extension	25	281,414	5,885	287,299
CUMIRP/PSE	41	1,404,447	692,023	2,096,470
Environmental Conservation	38	2,674,100	462,594	3,136,694
Food Science	14	1,119,297	228,075	1,347,372
Geosciences	22	1,650,051	656,281	2,306,332
Mathematics and Statistics	12	588,667	298,776	887,443
Microbiology	18	4,775,916	1,679,815	6,455,731
Physics	24	2,630,614	951,237	3,581,851
Plant, Soil and Insect Sciences	83	9,338,211	662,317	10,000,528
Polymer Science and Engineering	45	10,885,372	3,683,723	14,569,095
Psychology	23	2,543,244	1,078,957	3,622,201
UMASS Extension	19	2,852,038	19,766	2,871,804
Veterinary and Animal Sciences	18	5,467,821	1,045,967	6,513,788
MBU Total FY 2012	583	\$70,558,623	\$20,352,057	\$90,910,680
MBU Total FY 2011	615	\$57,152,769	\$17,968,491	\$75,121,260

College of Social & Behavioral Sciences

Anthropology	5	534,725	199,350	734,075
Anthropology - Archaeological Services	17	503,851	154,903	658,754
Communication	4	120,455	64,629	185,084
Economics	1	34,935	0	34,935
Political Science	2	81,680	33,317	114,997
Public Policy	3	107,629	11,051	118,680
Sociology	3	175,374	4,661	180,035
MBU Total FY 2012	35	\$1,558,649	\$467,911	\$2,026,560
MBU Total FY 2011	49	\$2,676,500	\$593,582	\$3,270,082

Dean of Students

Everywoman's Center	6	313,760	3,495	317,255
MBU Total FY 2012	6	\$313,760	\$3,495	\$317,255
MBU Total FY 2011	7	\$407,243	\$1,660	\$408,903

Facilities & Campus Services

Facilities Planning	1	1,944,000	0	1,944,000
Transit Operations	1	80,218	47,066	127,284
MBU Total FY 2012	2	\$2,024,218	\$47,066	\$2,071,284

Graduate School

Graduate Dean's Office	4	717,691	15,839	733,530
NEAGEP/STEM	2	54,546	5,454	60,000
MBU Total FY 2012	6	\$772,237	\$21,293	\$793,530
MBU Total FY 2011	5	\$1,515,777	\$255,263	\$1,771,040

Human Resources

Human Resources	1	5,200	0	5,200
MBU Total FY 2012	1	\$5,200	\$0	\$5,200
MBU Total FY 2011	3	\$541,306	\$92,847	\$634,153

Information Technologies

CIO	1	191,391	128,609	320,000
MBU Total FY 2012	1	\$191,391	\$128,609	\$320,000
MBU Total FY 2011	3	\$320,988	\$130,243	\$451,231

Library

University Library - Admin Services	1	42,950	0	42,950
MBU Total FY 2012	1	\$42,950	\$0	\$42,950

School of Education

Educational Policy Research & Admin	15	2,416,013	370,662	2,786,675
Student Dev & Pupil Personnel Services	7	358,621	35,430	394,051
Teacher Ed & Curriculum Studies	2	1,549,962	103,738	1,653,700
MBU Total FY 2012	24	\$4,324,596	\$509,830	\$4,834,426
MBU Total FY 2011	22	\$8,243,515	\$2,425,313	\$10,668,828

School of Management

Accounting and Information Systems	1	10,000	0	10,000
Finance & Operations Management	1	91,030	0	91,030
MA Small Business Dev Ctr	25	3,880,185	21,475	3,901,660
Resource Economics	3	232,195	65,654	297,849
MBU Total FY 2012	30	\$4,213,410	\$87,129	\$4,300,539
MBU Total FY 2011	19	\$5,117,580	\$400,036	\$5,117,616

School of Nursing

Nursing	9	290,864	7,386	298,250
MBU Total FY 2012	9	\$290,864	\$7,386	\$298,250
MBU Total FY 2011	4	\$48,518	\$8,576	\$57,094

School of Public Health & Health Sciences

Communications Disorders	6	882,564	258,352	1,140,916
Dean Health Sciences	1	68,932	39,292	108,224
Kinesiology	13	880,417	367,421	1,247,838
Nutrition	4	2,484,879	569,999	3,054,878
Public Health	27	2,979,379	775,162	3,754,541
MBU Total FY 2012	51	\$7,296,171	\$2,010,226	\$9,306,397
MBU Total FY 2011	72	\$8,131,613	\$1,972,210	\$10,103,823

Undergraduate Affairs

University Without Walls	1	1,500	0	1,500
MBU Total FY 2012	1	\$1,500	\$0	\$1,500
MBU Total FY 2011	1	\$1,500	\$0	\$1,500

University Relations

Communications and Marketing	1	1,500	0	1,500
University Relations	2	130,000	0	130,000
WFCR	1	298,569	0	298,569
MBU Total FY 2012	4	\$430,069	\$0	\$430,069
MBU Total FY 2011	5	\$358,182	\$0	\$358,182

VC for Research & Engagement

C&I/Baystate/UM PVLSI	1	195,051	23,011	218,062
Mass Nanotech	9	766,303	143,075	909,378
UMass Innovation Institute	1	0	0	0
University Press	12	28,725	0	28,725
Water Res & Research Ctr	6	276,617	66,421	343,038
MBU Total FY 2012	29	\$1,266,696	\$232,507	\$1,499,203
MBU Total FY 2011	35	\$4,596,782	\$1,704,502	\$6,301,284

Cumulative Total FY 2012 **967** **\$114,722,359** **\$29,906,911** **\$144,629,270**

Cumulative Total FY 11 1,083 \$111,723,895 \$31,804,153 \$143,528,048

% Change FY 2011 to FY 2012 **-11%** **3%** **-6%** **1%**

Cumulative Total FY 10 1135 \$133,466,649 \$36,526,859 \$169,993,508

% Change FY 2010 to FY 2012 **-15%** **-14%** **-18%** **-15%**

AWARDS

Table 8

5 Year Award Trend by Sponsor Category

Sponsor Category	FY2008		FY2009		FY2010		FY2011		FY2012	
	#	Dollars	#	Dollars	#	Dollars	#	Dollars	#	Dollars
Federal	479	\$93,226,867	467	\$93,635,259	498	\$129,262,137	457	\$100,731,941	372	\$102,298,074
Commonwealth of MA	81	\$9,609,293	74	\$16,316,146	74	\$9,165,862	58	\$9,430,532	55	\$12,454,611
Other States & Local Gov'ts	20	\$893,689	17	\$740,944	12	\$456,655	16	\$974,288	13	\$1,167,684
Non-Profit	342	18,309,853	360	\$16,672,462	325	\$20,674,374	315	\$18,845,923	295	\$14,363,891
Industry	272	13,278,630	222	\$10,039,334	225	\$10,434,480	237	\$13,545,364	232	\$14,345,010
Total	1,194	\$135,318,332	1,140	\$137,404,145	1,134	\$169,993,508	1,083	\$143,528,048	967	\$144,629,270

AWARDS

Table 9

Awards Accepted from Federal Agencies FY 2012

<u>Sponsor</u>	<u>Awards</u>	<u>Direct</u>	<u>Indirect</u>	<u>Total</u>
US Dept of Agriculture				
Agricultural Research Service (USDA - ARS)	2	162,269	715	162,984
Animal and Plant Health Inspec Serv (APHIS)	6	379,616	32,443	412,059
Forest Service (USFS)	11	1,012,678	33,743	1,046,421
Nat'l Institute of Food and Agriculture (NIFA)	22	17,617,961	1,188,685	18,806,646
Natural Resources Conserv Services(NRCS)	1	63,636	6,364	70,000
Total	42	\$19,236,160	\$1,261,950	\$20,498,110
US Dept of Commerce				
National Institute of Standards and Tech	1	37,342	12,658	50,000
Nat'l Oceanic and Atmospheric Admin (NOAA)	6	977,847	248,626	1,226,473
Total	7	\$1,015,189	\$261,284	\$1,276,473
US Dept of Defense				
Air Force Office of Scientific Research (AFOSR)	3	285,697	145,655	431,352
Army Corps of Engineers	1	328,683	114,532	443,215
Army Natick Soldier R D and E Center	6	532,177	237,947	770,124
Army Research Institute	2	531,380	99,620	631,000
Army Research Office (ARO)	6	284,313	139,448	423,761
Defense Logistics Agency	1	257,179	12,570	269,749
Defense Threat Reduction Agency	1	131,641	68,359	200,000
National Security Agency (NSA)	3	55,724	32,700	88,424
Naval Air Warfare Center	2	194,107	104,147	298,254
Naval Research Laboratory	1	48,737	21,263	70,000
Office of Naval Research (ONR)	11	860,532	446,411	1,306,943
Total	37	\$3,510,170	\$1,422,652	\$4,932,822
US Dept of Education				
US Dept of Education (DOED)	4	701,550	47,167	748,717
Total	4	\$701,550	\$47,167	\$748,717
US Dept of Energy				
US Dept of Energy (DOE)	26	9,622,234	2,767,797	12,390,031
Total	26	\$9,622,234	\$2,767,797	\$12,390,031

AWARDS

Table 9 (cont'd)

Awards Accepted from Federal Agencies FY 2012

<u>Sponsor</u>	<u>Awards</u>	<u>Direct</u>	<u>Indirect</u>	<u>Total</u>
US Dept of Health and Human Services				
Health Resources and Services Admin (HRSA)	2	611,737	45,525	657,262
National Institutes of Health (NIH)	60	13,088,915	4,483,350	17,572,265
Total	62	\$13,700,652	\$4,528,875	\$18,229,527
US Dept of Interior				
Geological Survey (USGS)	12	1,752,166	459,365	2,211,531
Total	12	\$1,752,166	\$459,365	\$2,211,531
US Dept of Justice				
US Dept of Justice (DOJ)	2	609,836	283,295	893,131
Total	2	\$609,836	\$283,295	\$893,131
US Dept of Transportation				
Federal Aviation Administration (FAA)	1	159,765	86,603	246,368
Federal Transit Administration	1	80,218	47,066	127,284
Total	2	\$239,983	\$133,669	\$373,652
US Dept of the Treasury				
US Dept of the Treasury	1	91,030	0	91,030
Total	1	\$91,030	\$0	\$91,030
Independent Establishments & Govt Corps				
Agency for International Development (AID)	2	1,074,846	98,040	1,172,886
Environmental Protection Agency (EPA)	3	381,743	191,530	573,273
National Aero and Space Administration	18	1,083,882	400,057	1,483,939
National Endowment for the Arts (NEA)	2	109,090	910	110,000
Nat'l Historical Publications & Records	1	42,950	0	42,950
Small Business Administration (SBA)	2	2,172,398	0	2,172,398
Total	28	\$4,864,909	\$690,537	\$5,555,446

AWARDS

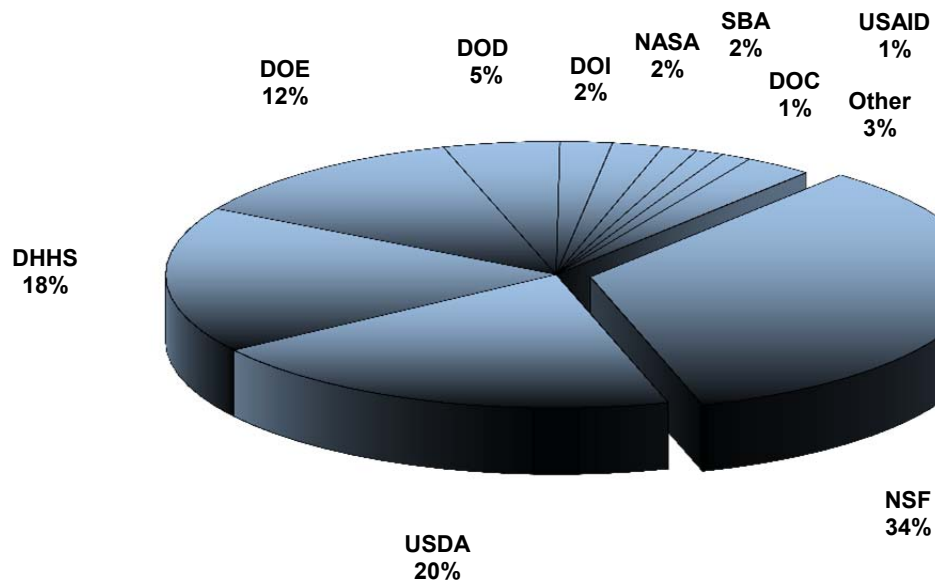
Table 9 (cont'd)

Awards Accepted from Federal Agencies FY 2012

<u>Sponsor</u>	<u>Awards</u>	<u>Direct</u>	<u>Indirect</u>	<u>Total</u>
National Science Foundation				
National Science Foundation (NSF)	147	26,165,274	8,876,214	35,041,488
Total	147	\$26,165,274	\$8,876,214	\$35,041,488
Other/Quasi Government Agencies				
Department of Veterans Affairs (VA)	1	33,119	19,397	52,516
Smithsonian Astrophysical Observatory	1	2,272	1,328	3,600
Total	2	\$35,391	\$20,725	\$56,116
Total Federal FY 2012	372	\$81,544,544	\$20,753,530	\$102,298,074
Total FY 2011 - Federal	457	\$77,023,861	\$23,708,080	\$100,731,941
% Change FY 2011 to FY 2012	-19%	6%	-12%	2%
Total FY 2010 - Federal	498	\$100,090,190	\$29,171,947	\$129,262,137
% Change FY 2010 to FY 2012	-25%	-19%	-29%	-21%

AWARDS

**Figure 10: Distribution of Award Dollars Accepted from Federal Agencies
FY 2012
Total Costs - \$102,298,074**



AWARDS

Table 10

Awards Accepted from Commonwealth of MA FY 2012

<u>Sponsor</u>	<u>Awards</u>	<u>Direct</u>	<u>Indirect</u>	<u>Total</u>
Commonwealth of Massachusetts				
MA Clean Energy Center	4	351,270	82,499	433,769
MA Cultural Council	6	16,500	0	16,500
MA Dept of Agricultural Resources	6	190,696	38,492	229,188
MA Dept of Business and Technology	2	1,237,580	0	1,237,580
MA Dept of Conservation and Recreation	4	48,474	12,007	60,481
MA Dept of Elementary & Secondary Ed	3	468,621	111,611	580,232
MA Dept of Environmental Protection	4	182,251	45,514	227,765
MA Dept of Fisheries, Wildlife, Envr Law	1	27,000	0	27,000
MA Dept of Higher Education	2	54,546	5,454	60,000
MA Dept of Public Health (DPH)	6	274,090	6,139	280,229
MA Dept of State Police	2	175,475	43,803	219,278
MA Dept of Transitional Assistance	1	2,125,073	474,927	2,600,000
MA Dept of Transportation	4	4,825,401	959,927	5,785,328
MA Division of Fisheries and Wildlife (DFW)	1	100,500	0	100,500
MA Division of Marine Fisheries	1	73,588	19,133	92,721
MA Emergency Management Agency	2	134,472	0	134,472
MA Exec Off of Public Safety & Security	1	99,525	25,475	125,000
MA Highway Department	1	0	0	0
MA Office for Victim Assistance	1	49,840	0	49,840
MA Office of Business Development	1	178,095	8,905	187,000
MA Registry of Motor Vehicles	2	6,134	1,594	7,728
Total FY 2012 - Commonwealth of MA	55	\$10,619,131	\$1,835,480	\$12,454,611
Total FY 2011 - Commonwealth of MA	58	\$8,303,342	\$1,127,190	\$9,430,532
% Change FY 2011 to FY 2012	-5%	28%	63%	32%
Total FY 2010 - Commonwealth of MA	74	\$8,152,016	\$1,013,846	\$9,165,862
% Change FY 2010 to FY 2012	-26%	30%	81%	36%

AWARDS

Table 11

Awards Accepted from Other States & Local Govts FY 2012

<u>Sponsor</u>	<u>Awards</u>	<u>Direct</u>	<u>Indirect</u>	<u>Total</u>
Other States and Local Governments				
Amherst Public Schools	1	78,063	7,024	85,087
Arizona Geological Survey	1	81,938	47,934	129,872
CT Agricultural Experiment Station	1	240,441	58,303	298,744
Fairbanks North Star Borough	2	160,338	22,152	182,490
Kentucky Arts Council	1	4,500	0	4,500
New Hampshire Fish and Game	1	214,458	32,169	246,627
Pioneer Valley Planning Commission	1	45,455	4,545	50,000
Snohomish County Public Utility District	1	20,831	4,166	24,997
Springfield Water and Sewer Commission	3	42,218	9,351	51,569
Upper Blackstone WPAD	1	74,443	19,355	93,798
Total FY 2012 - Other States & Local Govts	13	\$962,685	\$204,999	\$1,167,684
Total FY 2011 - Other States & Local Govts	16	\$758,577	\$215,711	\$974,288
% Change FY 2011 to FY 2012	-19%	27%	-5%	20%
Total FY 2010 - Other States & Local Govts	12	\$352,780	\$103,875	\$456,655
% Change FY 2010 to FY 2012	8%	173%	97%	156%

AWARDS

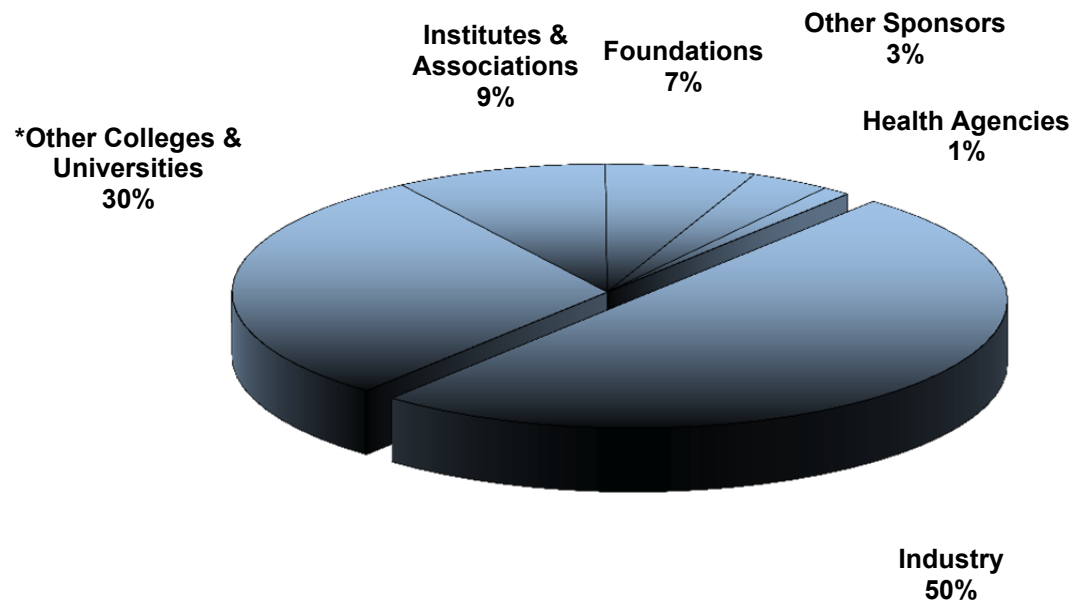
Table 12

Awards Accepted from the Private Sector FY 2012

<u>Sponsor</u>	<u>Awards</u>	<u>Direct</u>	<u>Indirect</u>	<u>Total</u>
Private Sector				
Non - Profit				
Foundations	61	1,741,709	130,385	1,872,094
Health Agencies	10	280,734	65,697	346,431
Institutes and Associations	83	2,265,425	367,668	2,633,093
Other Colleges and Universities	123	6,052,610	2,465,492	8,518,102
Other Sponsors	18	909,033	85,138	994,171
Total FY 2012 -- Non-Profit	295	11,249,511	3,114,380	14,363,891
Total FY 2011 -- Non-Profit	315	15,419,507	3,426,416	18,845,923
% Change FY 2011 to FY 2012	-6%	-27%	-9%	-24%
Total FY 2010 -- Non-Profit	325	16,995,768	3,678,606	20,674,374
% Change FY 2010 to FY 2012	-9%	-34%	-15%	-31%
Total FY 2012-- Industry	232	10,346,488	3,998,522	14,345,010
Total FY 2011-- Industry	237	10,218,608	3,326,756	13,545,364
% Change FY 2011 to FY 2012	-2%	1%	20%	6%
Total FY 2010-- Industry	225	7,875,895	2,558,585	10,434,480
% Change FY 2010 to FY 2012	3%	31%	56%	37%
Total FY 2012 -- Private Sector	527	\$21,595,999	\$7,112,902	\$28,708,901
Total FY 2011 -- Private Sector	552	25,638,115	6,753,172	32,391,287
% Change FY 2011 to FY 2012	-5%	-16%	5%	-11%
Total FY 2010 -- Private Sector	550	\$24,871,663	\$6,237,191	\$31,108,854
% Change FY 2010 to FY 2012	-4%	-13%	14%	-8%

AWARDS

Figure 11: Distribution of Award Dollars Accepted from the Private Sector FY 2012
Total Costs - \$28,708,901



* A Significant portion of these awards are prime

AWARDS

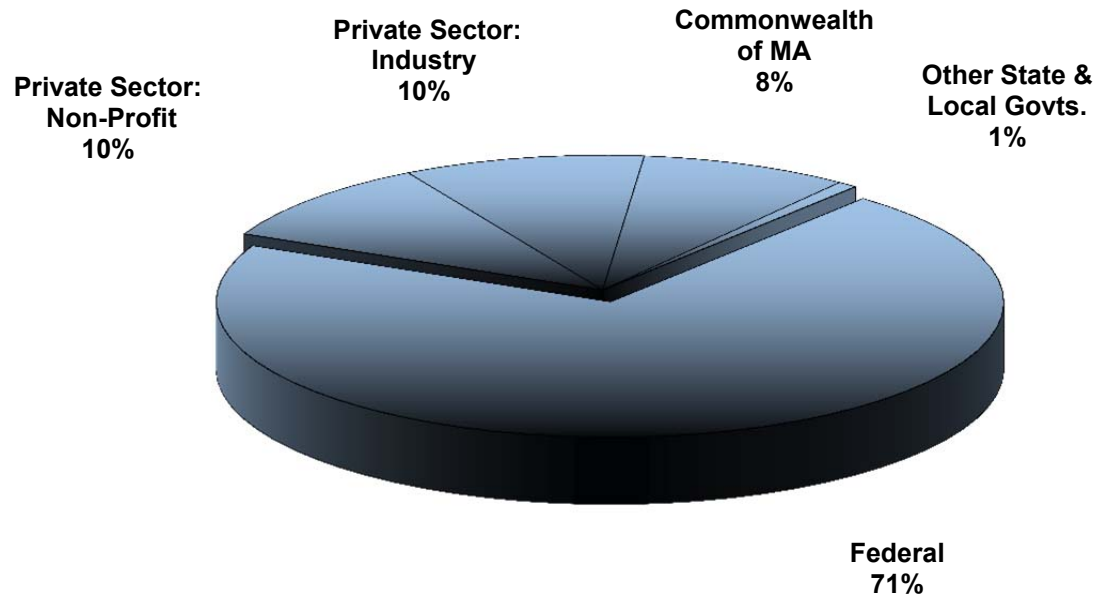
Table 13

Summary of Awards Accepted by Sponsor Category FY 2012

Sponsor	Awards	Direct	Indirect	Total
Federal	372	81,544,544	20,753,530	102,298,074
Commonwealth of Massachusetts	55	10,619,131	1,835,480	12,454,611
Other States & Local Governments	13	962,685	204,999	1,167,684
Private Sector -- Industry	232	10,346,488	3,998,522	14,345,010
Private Sector -- Non-Profit	295	11,249,511	3,114,380	14,363,891
Total Fiscal Year 2012	967	\$114,722,359	\$29,906,911	\$144,629,270

AWARDS

Figure 12: Distribution of Awarded Dollars by Sponsor Category FY 2012
\$144,629,270



AWARDS

Table 14

Summary of Project Characteristics & Award Types by Sponsor Category FY 2012

	Proj. Type	Award Type	# of Awards	\$ Amt Awards
Federal	Research	Grant	272	\$60,404,340
	Instruction	Grant	6	\$2,264,762
	Other	Grant	16	\$8,374,270
	Research	Co-Op	43	\$23,286,675
	Instruction	Co-Op	1	\$10,000
	Other	Co-Op	10	\$4,110,471
	Research	Contract	22	\$3,290,711
	Instruction	Contract	0	\$0
	Other	Contract	2	\$556,845
	Research	Grant	0	\$0
	Instruction	Grant	0	\$0
	Other	Grant	0	\$0
Commonwealth of MA	Research	Co-Op	0	\$0
	Instruction	Co-Op	1	\$10,000
	Other	Co-Op	0	\$0
	Research	Contract	30	\$7,224,256
	Instruction	Contract	1	\$5,000
	Other	Contract	23	\$5,215,355
	Research	Grant	0	\$0
	Instruction	Grant	0	\$0
	Other	Grant	0	\$0
	Research	Co-Op	0	\$0
	Instruction	Co-Op	0	\$0
	Other	Co-Op	0	\$0
Other States & Local Gov't	Research	Contract	12	\$1,163,184
	Instruction	Contract	1	\$4,500
	Other	Contract	0	\$0

AWARDS

Table 14 (cont'd)

Summary of Project Characteristics & Award Types by Sponsor Category FY 2012

	Proj. Type	Award Type	# of Awards	\$ Amt Awards
Non-Profit Private	Research	Grant	95	\$2,814,453
	Instruction	Grant	3	\$59,861
	Other	Grant	34	\$724,474
	Research	Co-Op	5	\$60,486
	Instruction	Co-Op	1	\$9,230
	Other	Co-Op	1	\$53,606
	Research	Contract	130	\$9,397,304
	Instruction	Contract	10	\$302,927
	Other	Contract	16	\$941,550
Industry	Research	Grant	72	\$1,452,334
	Instruction	Grant	1	\$25,000
	Other	Grant	25	\$215,333
	Research	Co-Op	4	\$490,834
	Instruction	Co-Op	0	\$0
	Other	Co-Op	0	\$0
	Research	Contract	121	\$11,883,869
	Instruction	Contract	0	\$0
	Other	Contract	9	\$277,640
Total			967	\$144,629,270

NOTES

1. Reporting Costs, Awarded vs. Recovered

There is often a significant difference between the funds reported in the OGCA Report of Sponsored Activities (RSA) as awarded during the fiscal year to the Amherst Campus, and the University's financial accounting system, of funds expended and indirect costs earned during the same fiscal year. This discrepancy can be especially problematic in projecting indirect cost.

To Clarify:

A. The OGCA Report of Sponsored Activities lists the amount of firm commitments awarded by outside sponsors to the University during the period of the fiscal year being reported. This does not necessarily coincide with the effective dates for incurring expenditures and recovering indirect costs. Figures 11 and 12 illustrate the differences between \$ awarded and \$ expended over a ten year period.

B. If a multiple year award is issued, the firm commitment of funds is reported in the RSA. For example, if a three year award is issued with either incremental funding or firm commitment for the first year only, we report only the amount of the increment or the first year (generally the effective dates will reflect only the first period). The remainder of the funds and effective dates are reported when the sponsor authorizes or releases the additional funds. If the Sponsor authorizes the full amount with no contingencies for a multiple year period, then the total amount for the full project period is reported in the same year it was awarded.

C. The University Financial System reports expenditures and indirect cost recovery during the period that the awards are active. Indirect costs are charged and recovered monthly, based on the current month's actual expenditures of each account/award.

As a result of the two reporting functions, awarded vs. earned indirect costs in any given period cannot be reconciled exactly. However, the data from both systems are valuable in the University's analyses and projections.

2. Awards with Negative Dollar Amounts

Reductions of awards, e.g. sponsor mandated reduction, early termination, transfer of grant to another institution, etc., are recorded as negative dollar amounts. They are listed in the report as credits with new OGCA numbers. This serves to report changes in awards during the period in which they occur.

3. Award Type Definitions:

GRANT: An award instrument issued to the University in support of a particular activity, but usually not requiring a "product" other than technical progress reports. A grant contains terms and conditions associated with the awarding of funds and is therefore termed "restricted". (A few sponsors award "unrestricted" grants).

CONTRACT: A bilateral award agreement which specifies work to be performed, deliverables, and specific requirements. Also, any bilateral document specifying terms and conditions agreed to by both parties.

COOPERATIVE AGREEMENT: A type of contract which outlines involvement of both parties to the agreement.

4. Proposal Reports only Contain New proposal data.

Please note we are now only reporting New proposals in our reports, and thus include Project totals, not just the first year. This means that any proposal that is part of an ongoing project will not be added into the number of applications nor the dollar totals.